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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/721,639	11/24/2000	Richard Hans Harvey	063170.6601	3833
5073 7590 03/30/2007 BAKER BOTTS L.L.P. 2001 ROSS AVENUE SUITE 600 DALLAS, TX 75201-2980			EXAMINER PANNALA, SATHYANARAYAN R	
			ART UNIT 2164	PAPER NUMBER
SHORTENED STATUTORY PERIOD OF RESPONSE		NOTIFICATION DATE	DELIVERY MODE	
3 MONTHS		03/30/2007	ELECTRONIC	

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Notice of this Office communication was sent electronically on the above-indicated "Notification Date" and has a shortened statutory period for reply of 3 MONTHS from 03/30/2007.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

mike.furr@bakerbotts.com  
ptomail1@bakerbotts.com

**Office Action Summary**

Application No.

09/721,639

Applicant(s)

HARVEY, RICHARD HANS

Examiner

Sathyanarayan Pannala

Art Unit

2164

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 12 January 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-5, 11 and 12 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-5, 11 and 12 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 1/12/2007 has been entered.
2. Applicant's Amendment filed on 12/13/2006 has been entered with amended claims 1 and 11, and it is in response to the Office Action mailed on 10/13/2006. In this Office Action claims 1-5,11-12 are pending.

### ***Claim Rejections - 35 USC § 112***

3. The following is a quotation of the first paragraph of 35 U.S.C. 112:  
  
The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

4. Claims 1 and 11 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter, which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. Claims 1 and 11 are phrased as “relational database of a database system” is not supported by the specification.

5. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

6. Claims 1 and 11 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claim 1, page 2, line 8, claiming as “the out table is unsearchable by a user” whereas the specification silent about it. Similarly claim 11, is claiming. More clarification is needed. Further, Claims 1 and 11 are phrased as “relational database of a database system” is not supported by the specification.

### ***Claim Rejections - 35 USC § 101***

7. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

8. Claims 1-5 and 11-12 are rejected under 35 U.S.C. § 101, because none of the claims are directed to statutory subject matter. Independent claims 1 and 11 deals with simple abstract idea of determining whether an instruction or operation. A claim that recites a computer that solely calculates a mathematical formula or a computer disk that solely stores a mathematical formula is not directed to the type of statutory subject matter eligible for patent protection. The claims are not producing useful, concrete and tangible results. See *Diehr*, 450 U.S. at 186 and *Gottschalk v. Benson*, 409 U.S. 63, 71-72 (1972).

Specifically, the claims 1 and 11 are phrased as ‘improving the operational performance of database.’ The phrase is relative and proper evidence must be provided to include in the specification. Claim 11 is phrased as “a directory service arrangement.” It is a non-statutory subject matter and it is not clear what it is and whether it is a system or a method.

***Claim Rejections - 35 USC § 103***

9. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

10. Claims 1-5 and 11-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Bachmann et al. (US Patent 6,085,188) hereinafter Bachmann, and in view of Byrne et al. (US Patent 6,347,312) hereinafter Byrne.

11. Bachmann teaches independent claims 1, 11 by the following:  
determining whether an instruction or operation adds an information entry or removes information entry from a relational database in the database system, wherein for an add operation, the information entry is first added to an 'out' table to improve the operational performance of the database system, and wherein for a remove operation, the information entry is first removed from an 'in' table to improve the operational performance of the database system, the 'out' table is unsearchable by a user, the in table and the 'out' table are located in a relational database, determining whether the instruction or operation is part of a modify entry instruction, the modify entry instruction operable to modify the information entry, the modify entry instruction comprising a plurality of an add and remove operations (Fig. 7-8, col. 6, line 47 to col. 7, line 15). Bachmann teaches the parent table and child table, which is analogous to using two tables of in and out and explicitly does not teach the in and out tables. However, Byrne teaches two tables which are similar to the purpose of in and out tables as Type I cache (40) and Type II cache (42). Type I is for a set of identifiers which qualify for a given LDAP search query of a particular filter key and the unit is indexed by that filter key. This way the repetitive search queries are handled without resort to the

relational database (38). A record for Type one is the same as the in table. Whereas Type II cache maintains results of the query (Byrne, Fig. 5, col. 5, line 50 to col. 6, lines 11). The search is done first and the data is filled into Type II and then search query in Type I one will be retained. When the search query did not find the record, the query will not be retained in the Type I and the result will not be available to store in the Type II. Thus, it would have been obvious to one of ordinary skill in the data processing art at the time of the invention, to combine teaching of the cited references because Byrne's teachings would have allowed Bachmann's method would have been efficient of handling of repetitive searches issued from a hierarchical directory service to a relational database backing store (Byrne, col. 2, lines 22-25).

Buchmann teaches the claimed, employing the instruction or operation to amend the information entry in the relational database of the database system (Fig. 8, col. 6, lines 60-64).

Additionally, Examiner has experience in using Sybase database system. Sybase database uses out-table and in-table. These tables are system tables and every database system uses similar system tables. In case of Sybase, these tables could be accessed or seen by the system user. An application controlling the process creates a record in out-table and the system monitors the presence of records. The system disposes of the records in the in-table as they are acted upon as well as from out-table. When the system non-invasively monitors

processes, an external application such as the application controlling the process disposes of the records as they are acted upon.

12. As per dependent claim 2, Bachmann teaches “the information is added to the ‘in’ table after being added to the ‘out’ table” (Fig. 8, col. 6, line 60 to col. 7, line 15).

13. As per dependent claim 3, Bachmann teaches “the information is removed from the ‘out’ table after being removed from the ‘in’ table” (Fig. 7, col. 6, lines 47-59).

14. As per dependent claim 4, Bachmann teaches “performing one entry operation of the plurality of add and remove entry operations if the instruction or operation is determining whether the instruction modify entry information” (Fig. 8, col. 5, lines 60-67, col. 6, lines 60-67).

15. As per dependent claims 5, 12 Bachmann teaches claimed “the instructions are implemented via a directory system such as X.500 or LDAP” (Fig. 4A-C, col. 4, lines 22-35).

### ***Response to Arguments***

16. Applicant's arguments filed on 12/13/2006 with respect claims 1-5 and 11-12 have been fully considered but they are not persuasive and the details as follows:



a) Applicant's argument states as "Byrne-Bachmann combination fails to disclose, teach, or suggest 'the out table' is unsearchable by a user, the 'in' table and out table are located in relational database."

In response to Applicant's argument, Examiner respectfully disagrees with the applicant because Byrne teaches two tables which are similar to the purpose of in and out tables as Type I cache (40) and Type II cache (42). Type I is for a set of identifiers which qualify for a given LDAP search query of a particular filter key and the unit is indexed by that filter key. This way the repetitive search queries are handled without resort to the relational database (38). A record for Type I is the same as the in table. Whereas Type II cache maintains results of the query (Byrne, Fig. 5, col. 5, line 50 to col. 6, lines 11).

b) Applicant's argument states as "The subject matter of claims 1 and 11 is fully supported by the specification."

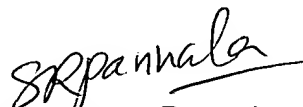
In response to Applicant's argument, Examiner respectfully disagrees with the applicant because there are several types of users and if any user cannot search those tables, how they are created and who can access or view these tables and it is not clearly defined in the specification.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Sathyanarayan Pannala whose telephone number is (571) 272-4115. The examiner can normally be reached on 8:00 am - 5:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Charles Rones can be reached on (571) 272-4085. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Sathyanarayan Pannala  
Primary Examiner

srp  
March 23, 2007